



# TRANSMITTAL OF APPEAL BRIEF

Docket No.  
03652/000K015-US0

In re Application of: William E. Pence

Application No.

10/017,498

Filing Date

December 14, 2001

Examiner

C. H. Hewitt

Group Art Unit

3621

Invention: METHOD AND APPARATUS FOR DYNAMIC RENEWABILITY OF CONTENT

## TO THE COMMISSIONER OF PATENTS:

Transmitted herewith is the Appeal Brief in this application, with respect to the Notice of Appeal filed: October 13, 2004

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Louis J. Del Giudice

Attorney Reg. No. : 47,522

DARBY & DARBY P.C.

P.O. Box 5257

New York, New York 10150-5257

(212) 527-7791

Dated: December 20, 2004

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**Dated:**

In re Patent Application of:  
William E. Pence et al.

Customer No.: 07278

Application No.: 10/017,498

Group Art Unit: 3621

Filed: December 14, 2001

Examiner: Calvin L. HEWITT

For: **METHOD AND APPARATUS FOR  
DYNAMIC RENEWABILITY OF  
CONTENT**

# APPEAL BRIEF

MAIL STOP Appeal Brief - Patents  
Comimissioner for Patents  
P.O. Box 1450  
Alexandria, VA. 22313-1450

Sir:

Appellants submit this Appeal Brief in triplicate as required by 37 C.F.R. § 1.192. A Notice of Appeal was filed October 13, 2004 in response to the Final Office Action mailed July 13, 2004. Appellants submit concurrently herewith the required fee for this Brief pursuant to 37 C.F.R. §§ 1.192 and 1.17(f). It is believed that no additional fees are required for this submission. However, should it be determined that additional fees are required or that any refund is due in connection with this application, the Commissioner is hereby authorized to charge the required fee(s) and/or credit the refund(s) due to Deposit Account No. 04-0100.

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**REAL PARTY IN INTEREST**

The real party in interest is the assignee of the Appellants. The assignee of record is Duet General Partnership, which changed its name to Napster LLC. Appellants are inventors William E. Pence, Dik Langan, Cynthia Healy, Geoff Schreiber, and Donna Penick.

**RELATED APPEALS AND INTERFERENCES**

Appellants' attorney is not aware of any other related appeals and/or interferences that will directly affect or be directly affected by or have a bearing on the Board's decision in the pending appeal.

**STATUS OF THE CLAIMS**

This is an appeal from the Examiner's rejection of claims 1-22 [sic], in a Final Office Action dated July 13, 2004. Appellants note that the Final Office Action dated July 13, 2004 states that claim 10 is included in the rejection. However, claim 10 was cancelled in the Amendment dated October 1, 2003. Claims 1-9 and 11-22 are pending and are the subject of this Brief. Appellants, from this point forward, will address their comments to the actual claims pending. The claims are set forth in Exhibit A immediately following this Brief.

**STATUS OF AMENDMENTS**

The Amendment submitted by Appellants on March 31, 2004 and Supplemental Arguments filed April 5, 2004 have been entered. Appellants have not submitted an amendment subsequent to the Final Office Action of July 13, 2004.

### **SUMMARY OF THE INVENTION**

The present invention relates to a method and apparatus for dynamically and transparently loading and renewing the licenses associated with downloaded content. Any type of content can be regulated, but examples of some types of content are audio music files or video movie files. Licensing associated with content can allow the provider to retain control over the content after it has been downloaded onto the user's computer. This protects the content from being copied, and enables a 'subscription model' for the continued use of the content wherein access to the content on the user's computer can be restricted if the user's account is not in good standing. This is in contrast to no protection or permanent protection. Permanent protection limits the number of times a user can use the content and/or the devices the content can be played back on. The protection is considered permanent because the protection cannot be changed after the content is purchased.

A License File or similar licensing parameter is the key to retaining control of the access to content after it has been downloaded. The License File contains numerous pieces of information regarding how the content can be consumed. Access restrictions can be based on the number of times the content can be accessed or a particular date after which the content is no longer accessible, or the type of device to which the content may be transferred. The License File may also include information about the specific computer the content was downloaded onto. A License File is sent to the user's computer without notifying the user, and then the content is downloaded or streamed to the user. Once the License File is transparently copied to the user's computer, a dynamic and transparent renewal method renews the License File on the user's computer, allowing the associated content to be used without disruption as long as the user's account is in good standing.

When a user requests access to content, the subscription service verifies the user's request and creates a License File to control access to the content. The License File is then downloaded to the user's computer without notifying the user and, in one embodiment, the content is then downloaded or streamed to the user. This allows constant control of access to the content without the user being aware of the controlling License File. One reason is that if a user attempts to copy the content, the License File is not copied with it and the user is denied access to the copy of the content. Denying access to improperly copied content prevents unauthorized copying.

Further, access to the content is granted continuously for as long as the user's account is in good standing. The License File must be updated to reflect the status of the user's subscription. In one embodiment, the License File is updated each time the user logs into the service. The updated License File is transparently renewed and the user is provided with uninterrupted access to his content. The transparent transmission of the License File allows the subscription service to retain control of the content without disrupting the user's continuous access to the content.

### ISSUES

The first issue is whether claims 1-9 and 11-20 should be rejected under 35 U.S.C. § 112, first paragraph, as failing to comply with the written description requirement and claims 1-9, 11-20 and 22 should be rejected under 35 U.S.C. § 112, first paragraph, as failing to comply with the enablement requirement.

The second issue is whether claims 1-9, 11-20 and 22 should be rejected under 35 U.S.C. § 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter of the invention.

The third issue is whether claims 1-7 and 11-22 should be rejected under 35 U.S.C. § 103(a) as being unpatentable over U.S. Patent No. 6,056,786 to Rivera et al. ("Rivera") in view of U.S. Patent No. 6,009,401 to Horstmann.

The fourth issue is whether claims 8 and 9 should be rejected under 35 U.S.C. § 103(a) as being unpatentable over Rivera in view of Horstmann and further in view of U.S. Patent No. 5,023,907 to Johnson et al.

### **GROUPING OF CLAIMS**

Independent claims 1 and 22 and dependent claims 2-9 are believed to be patentable over the cited art for the reasons set forth below. Claims 1-9 and 22 stand and fall together. Independent claims 19-21 and dependent claims 11-18 are believed to be patentable over the cited art for the reasons set forth below. Claims 11-21 stand or fall together and independently from the remaining claims.

### **ARGUMENTS**

#### **(i) Rejection of claims 1-9, 11-20 and 22 under 35 U.S.C. § 112, first paragraph**

(Issue No. 1) Claims 1-9 and 11-20 stand rejected under 35 U.S.C. § 112, first paragraph, as failing to comply with the written description requirement and claims 1-9, 11-20, and 22 stand rejected under 35 U.S.C. § 112, first paragraph, as failing to comply with the enablement requirement.

The Examiner contends, for both the written description and enablement requirements, that the Specification is silent regarding the claim terms "renewing the parameters transparently" and "update said license file parameter transparently" and further that there is no enabling disclosure







Further, the Examiner contends that the Specification does not enable the invention by providing one of ordinary skill in the art the necessary information to make and use the present invention. Appellants respectfully traverse the Examiner's contention.

A review of the prior art illustrates that the "transparent" handling of files is known and within the knowledge of one of ordinary skill in the art. Thus, the Specification, along with the knowledge of one of ordinary skill in the art enables one to make and practice the invention.

For example, U.S. Patent No. 6,519,624 ("the '624 patent" - attached hereto as Exhibit C), filed in the U.S. on April 28, 1999 (over 1 ½ years before the present application) discloses a data transmission/receiving system for exchanging data records between two computer nodes. The invention of the '624 patent determines the most efficient communications network between the two nodes to transmit data. The analysis is based on the size of the data and the speed of the network and the data is transmitted over the most efficient network. The "transmission takes place transparently for the user of the client application and other applications ... [Thus,] the solution taught by the invention is particularly user-friendly, and does not require any modifications to existing applications." The '624 patent, column 2, lines 6-11.

The data records disclosed by the '624 patent "can contain, for example, images, finished pages, video sequences or a multimedia document ... [and] can consist, for example, of control data that are exchanged between applications, correction data or status data concerning documents." The '624 patent, column 5, lines 32-37. The data is transmitted to and from the nodes and the users initiate the transfers. The disclosure of the '624 patent describes the method and system to switch between communications networks but provides no further information on how the switching and transmission is performed "transparently." The transparent nature of the invention is not described in detail but independent claims 12 and 14 of the '624 patent recite elements of "switch[ing]

transparently” and “transparent switching” which suggest that there is enough support in the ‘624 patent to describe and enable the “transparent” element of the claims.

The transparent switching elements are supported by the disclosure in only two locations in the Detailed Description that describe performing actions “transparently.” The ‘624 patent, column 4, lines 5-11, discloses that the “communications application CA1 hereby transmits a data record which is transmitted to it in the computer node CN1 for transfer to the computer node CN3, transparently for the applications A and the user U1, to the communications application CA3.” Further, the “program module CRA delivers a data record transmitted by one of the computer nodes CN1 to CN2 to the computer node CN3, switches transparently between the different methods of receipt for such data records to be delivered, and controls the receipt of such data records by means of the program modules WS and BCS.” The ‘624 patent, column 7, lines 3-8.

Appellants assert that one of ordinary skill in the art possesses the knowledge to transparently transmit a file to a user and that the claims of the ‘624 patent are enabled for one of ordinary skill in the art. The disclosure of both the present Specification and the ‘624 patent illustrate that the basic concept of transparently transmitting a file is well known, such that the mechanics of such a process need not be described in detail. Appellants submit that the novelty of the presently claimed invention includes a method and apparatus of protecting electronic content by transmitting and renewing License Files without notifying a user (i.e. transparently) and not the particular way to transparently transmit the file itself.

In the present case, one of ordinary skill in the art has been provided with sufficient written description and possesses the knowledge to transparently transmit files to a user and the Specification and claims meet the disclosure requirements under 35 U.S.C. § 112, first paragraph. Thus, Appellants respectfully request that the above rejection be withdrawn or reversed.

**(ii) Rejection of claims 1-9, 11-20 and 22 under 35 U.S.C. § 112, second paragraph**

(Issue No. 2) Claims 1-9, 11-20 and 22 stand rejected under 35 U.S.C. § 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter of the invention. The Examiner contends that the Specification is silent regarding “renewing the parameters transparently” and “update said license file parameter transparently” and further does not provide enough information to teach or suggest to one of ordinary skill in the art how to update or renew transparently. Appellants respectfully submit that the claims particularly point out and claim the subject matter of the invention.

Similar to Issue No. 1 above, the Specification is not silent as to the terms “transparently renewing” and “transparently updating”. All of the arguments presented to refute the Examiner’s rejection under 35 U.S.C. § 112, first paragraph, also apply to this issue. The Specification clearly states that the “present invention relates to a method and apparatus for dynamically and transparently renewing the licenses associated with downloaded content.” Specification, page 4, lines 13-14. Additionally, when a user requests to download content, “License Files are then sent to the user’s computer without notifying the user, and then the content is downloaded or streamed to the user.” Specification, page 8, lines 7-8. Appellants again submit that the Specification is not silent on the element of renewing or updating the parameters without notifying the user.

Further to the § 112, first paragraph, arguments above, one of ordinary skill in the art has the ability to transparently transmit a file to a user. Appellants are claiming a new and novel way of protecting electronic content by transmitting and renewing License Files without notifying a user (i.e. transparently).





54 and also see, Figures 3, 4 and 5. Thus, Rivera does not teach or suggest the distribution of content, along with a license file, as recited by the claims.

The Examiner states that Rivera does not teach or suggest transmitting a License File to a user and contends that Horstmann discloses transmitting a license file to a user.

Horstmann discloses the relicensing of electronically purchased software. Horstmann assumes that license certificates are installed on a user's machine with the original software product. Once the user's hard drive fails, the components need to be reinstalled. Preferably, the license certificate is backed up by the end user onto a floppy. However, in an emergency, the license certificate is retrieved from a clearing house once the user has been authenticated. *See*, Horstmann, column 3, line 59 to column 4, line 11.

Appellants agree that Horstmann discloses transmitting a license file to a user. However, Appellants respectfully disagree with the Examiner in that Horstmann does not teach or suggest that the license file is "transparently" transmitted, updated and/or renewed. As argued above regarding the § 112 rejections, the Specification discloses that "transparently" transmitting a file happens invisibly, without the user's knowledge.

Appellants submit that Horstmann specifically teaches away from transparently transmitting license files because he transmits the license files with the user's knowledge. Horstmann's "license certificate is preferably backed up by the end user onto a floppy disk or other permanent storage medium ... [and] in an emergency, it may be retrieved from the clearinghouse or merchant." Horstmann, column 3, line 67 to column 4, line 6. The user must create the back-up or initiate the request for the license certificate and, thus, must have knowledge of the license certificate. Also, the user is fully aware when the license file is being transmitted because the user specifically requests the transmission when the original license file is damaged or lost. If the user is aware of the

transmission of the license file the license file is never “transparently” transmitted, updated or renewed.

Further, Horstmann, if not teaching away as Appellants assert, is silent on how his license files are transmitted. Horstmann does not disclose that the license files are “transparently” transmitted. Additionally, there is no teaching or suggestion that one of ordinary skill in the art should transmit the license file “transparently”. On the contrary, a user must be aware of the license file to know to back-up the file and to request a new license file if the old one is lost or destroyed.

Thus, Horstmann does not teach or disclose the transparent transmission, updating and/or renewing of the license file as required by the present claims. Additionally, the combination of Rivera and Horstmann do not disclose all the elements of the pending claims. Appellants respectfully submit that the present invention is nonobvious and the above rejection be withdrawn or reversed.

**(iv) Rejection under 35 U.S.C. § 103(a)**

(Issue No. 4) Claims 8 and 9 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over Rivera in view of Horstmann and further in view of U.S. Patent No. 5,023,907 to Johnson et al. (“Johnson”). The Examiner contends that Rivera and Horstmann disclose all the elements of these claims except generating individual license files for individual content or that one license file can be generated for a plurality of content files. The Examiner further states that Johnson discloses a licensing system that generates a single license for either individual content files or a plurality of content files.

Johnson discloses a network license server that provides access to client-server software under a concurrent user license. The Johnson system manages numerous software programs and

regulates access to the programs by tracking the number of concurrent users and does not generate license files. *See*, Johnson, column 2, line 60 to column 3, line 42.

Appellants respectfully disagree with the Examiner. Claims 8 and 9 depend from claim 1 and are allowable for at least the reasons explained with respect to Issue No. 3 regarding claim 1. Further, Johnson does not teach or suggest the elements lacking from both Rivera and Horstmann and present in claims 8 and 9. Appellants respectfully submit that the present invention is not obvious and the above rejection be withdrawn or reversed.

### CONCLUSION

For the foregoing reasons, the final rejection of claims 1-9 and 11-22 should be reconsidered by the Examiner or reversed in its entirety by the Board. Claims 1-9 and 11-22 are supported, definite, enabled and patentable over the prior art of record. Accordingly, the Examiner's finding of unpatentability should be reversed. Such a disposition is earnestly solicited.

Dated: December 20, 2004

Respectfully submitted,

By 

Louis J. DelJuidice

Registration No.: 47,522

DARBY & DARBY P.C.

P.O. Box 5257

New York, New York 10150-5257

(212) 527-7700

(212) 753-6237 (Fax)

Attorneys for Appellants





## LISTING OF THE CLAIMS

1. A method for dynamic renewability of content comprising the following steps:
  - (a) creating a license file having one or more parameters for a content item requested by a user;
  - (b) transmitting the requested content item from a provider system to the user;
  - (c) transparently transmitting the license file to the user without notifying the user;
  - (d) subsequent to steps (a), (b), and (c), comparing the one or more parameters contained in the license file to corresponding one or more parameters maintained by the provider system to determine whether or not the user is allowed access to the content; and
  - (e) transparently renewing the parameters without notifying the user in the license file if the parameters in the license file differ from the corresponding parameters maintained by the provider system to allow continued access to the content by the user in accordance with the license file parameters maintained by the provider system.
2. The method of claim 1, wherein the license file parameters include one or more of the following parameters: date, user's country of origin, monetary value on account, user's technical information, type of content to be downloaded, number of times the content has been downloaded and grace periods.

3. The method of claim 2, further comprising a step wherein the license file is created by a license server.

4. The method of claim 3, further comprising the step of storing the provider system license file parameters using a subscription management system.

5. The method of claim 4, further comprising the step of storing one or more user license file parameters in a registry.

6. The method of claim 5, further comprising the step of storing the content item on a content server which is part of the provider system.

7. The method of claim 6, further comprising the step of recording the user downloaded content in a user's local database.

8. The method of claim 1, wherein individual license files are created for individual content items.

9. The method of claim 1, wherein one license file is created for a plurality of content items, said license file including one or more parameters for each content item.

10. (Canceled)



16. The system of claim 15, wherein said subscription management service is operable to compare license file parameters on the content provider system and the license file parameters on the user system.

17. The system of claim 16, wherein the provider system further comprises a means to transparently update said license file without notifying the user by communicating an updated license file from the provider system to said user system.

18. The system of claim 17, wherein the provider system further comprises a means to transparently update said license file without notifying the user by communicating an updated license file parameter from the provider system to said user system.

19. A computer readable medium encoded with processing instructions for performing a method for facilitating a dynamic renewability of content between a provider system and a user system, comprising the following steps:

(a) creating a license file having one or more parameters for a content item requested by a user;

(b) transmitting the requested content item from a provider system to the user;

(c) transparently transmitting the license file to the user without notifying the user;



maintained by the provider system to determine whether or not the user is allowed access to the content; and

(e) transparently renew the parameters in the license file without notifying the user if the parameters in the license file differ from the corresponding parameters maintained by the provider system to allow continued access to the content by the user in accordance with the license file parameters maintained by the provider system.

21. An apparatus for providing dynamic renewability for content provided from a content provider to a user, comprising:

a content provider system, said content provider system including:

a content server, operable to store and retrieve content items;

a communication server, operable to communicate with said user, said communication server operable to receive content items from said content server and to communicate said content items to said user;

a license server, operable to monitor the amount and type of content to be communicated to said user, said license server having stored thereon one or more license files, each said license file containing one or more parameters relating to one of said content items; and

a user system, said user system including:

a communication application, operable to communicate with said communication server in order to receive content items and license files;

a license storage, operable to store said one or more license files on said user system; and

a content storage, operable to store content items requested by said user and received from said content provider system, wherein said content provider system further comprises a means to transparently transmit said license files to said user without notifying said user.

22. A method for downloading and renewing content for a user, comprising the steps of:

- (a) requesting, by the user, a content item;
- (b) processing the user's request at a provider system, wherein the processing step comprises the step of creating a license file having one or more parameters for the content item;
- (c) receiving, by the user, the requested content item;
- (d) transparently receiving, by the user, the license file;
- (e) allowing continued access to the content item by the user in accordance with the license file by transparently renewing the one or more parameters in the license file if the parameters in the license file differ from the corresponding parameters maintained by the provider system, such that the user is unaware of the renewing of the one or more parameters in the license file as the renewing is taking place.

number of pulses or bits transmitted in a given period  
er Second (BPS), Words Per Minute (WPM), Character  
ly as Lines Per Minute (LPM) in printer transmission

**Transparent Image** An image that has had one color, usually the background, designated as "transparent," so that when the image is displayed in a browser, the image's background is colored with the browser's background color. The effect is an image that does not have a visible rectangular background.

**Transport Protocol Class Four TP4.** An International Standard Organization (ISO) transport layer protocol designated as ISO IS 8073 Class Four. TP4 has been adopted by the U.S. Department of Defense and specified in the